

**Caltrans Statewide Small Business Council – Meeting Record**  
District 4 Office, 111 Grand Avenue, Park View Room, Oakland, CA 95612  
September 21, 2012, 8:30 a.m. to 12:00 p.m.

Action/Task		Who is responsible/ presented	By when	Status
<b>A. Meeting called to order at 8:46 a.m.</b>		René Halverson, Assistant Director, OBEO and Council Chair		
<b>B. Action Items to Date</b>		René Halverson		
<b>Carry over from the July 20 SBC meeting:</b>		Ramon Carlos	11-16-12	<b>ASSIGNED</b> – referred to Professional Services Committee to work with OBEO representative; update on progress at next regular SBC meeting.
<ul style="list-style-type: none"> <li>Provide data tracking DBE utilization performance of primes and subs, specifically, professional service (A&amp;E) contracts.</li> </ul>		René Halverson to coordinate	11/16/12	<b>UPDATE as required</b> – when FHWA approves the plan, an electronic copy of the approved plan will be made available to SBC members.
<b>ACTION ITEMS from the September SBC meeting:</b>				
1. Provide a definition of “micro-business.”		Angel Carrera, DGS	11/16/12	<b>COMPLETED</b> – Government Code Section 14837 (3) allows the Director of DGS to increase the upper limit on what constitutes a Microbusiness. The most recent increase can be found in the California Code of Regulations Title 2 Section 1896.4 (Q) which states: “Microbusiness means a small business that, together with affiliates, has average annual gross receipts of three million, five hundred thousand (\$3,500,000) or less over the previous three years, as adjusted by the Department pursuant to Government Code § 14837(d)(2), or is a manufacturer, as defined in Government Code § 14837, with 25 or fewer employees.” Provided by Charles Deyoe, Legislative liaison, DGS, Procurement Division.
2. Provide a presentation on changes in laws affecting the transportation industry.		René Halverson to coordinate	11/16/12	<b>COMPLETED</b> – presentation scheduled for 11/16/12 SBC meeting.
3. Provide council members with Mr. Garese’s and Ms. Skeen’s contact information.		Carole Ching	11/16/12	<b>COMPLETED</b> – email with contact information sent to council members on 9/27/12.
4. Provide a presentation on FI\$CAL.		Angel Carrera, DGS	11/16/12	<b>IN PROGRESS</b> – Angel Carrera, DGS, will coordinate a presentation on BidSync given the time line on the change from BidSync to FI\$CAL is several years away. The BidSync presentation will be scheduled for a 2013

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5. Provide a presentation on stop notices and lien law changes to the SBC.	Carole Ching to coordinate	11/16/12	SBC meeting. <b>COMPLETED</b> - Jidi Wong will provide a presentation at the 11/16/12 SBC meeting.
6. Provide updates on the certification rate.	Janice Salais	11/16/12	<b>COMPLETED</b> – Janice Salais, Certification stated their average for 2012 is 25 approved certifications per month.
7. Provide an overview of fiscal year highlighting funding, where funding flows, responsibilities and services.	René Halverson to coordinate	11/16/12	<b>COMPLETED</b> - Jason Probst of Public Affairs provided 2011-12 Fiscal Year Highlights included in the 11/16/12 SBC meeting packets.
8. Create an ad hoc work group to enhance African American participation in Caltrans contracts.	Ramon Carlos to staff	11/16/12	<b>ASSIGNED</b> – Eddy Lau to chair the work group and provide the council with updates on progress.
9. Discuss the possibility of staggering committee meeting start times with committee chairs.	Carole Ching	11/16/12	<b>ASSIGNED</b> – Executive Committee
<b>Further comments from the Chair - René Halverson</b>			
<ol style="list-style-type: none"> <li>1. Meeting locations for 2013 – discussion               <ol style="list-style-type: none"> <li>a. Council meets six times per year; per Malcolm Dougherty, Director, three meetings are to be in Sacramento, three meetings outside Sacramento.</li> <li>b. Agreed to have the January planning meeting in San Diego at the District 11 Office; tentatively scheduled for January 18, 2013, to be confirmed by René's office.</li> <li>c. Agreed to have the July meeting in Stockton.</li> <li>d. This leaves one more meeting outside of Sacramento in May, which will be decided before the end of this year.</li> <li>e. Suggested that we have locals from the area provide input at the meetings.</li> </ol> </li> <li>2. Disparity Study II, proposed goal and methodology               <ol style="list-style-type: none"> <li>a. Call for public participation officially began on 9/14/12; the first public participation forum is scheduled on 9/17/12, to conclude on 9/27/12. Public comments can also be submitted online; all public comments are due by 10/31/12 to Ramon Carlos; members received email and attached schedule on 9/14/12; hard copy of the email message and the meeting schedule provided in the meeting materials. Documents and schedule of public participation meetings also available online at the Caltrans OBEO web page.</li> <li>b. Mr. Marvin Dean (Alt.) asked if the meeting scheduled for 9/26/12 in Fresno can be moved to another date, because it conflicts with another meeting for High Speed Rail. Malcolm Dougherty, Director of Caltrans, said he would look into it.</li> </ol> </li> <li>3. Correction to July meeting record – page 7, 4., District 11 report, c), Procurement Fairs 2012: amount the district spent on SBs should be \$98,200. This has been corrected in the copy found in the meeting packet.</li> </ol>			
<b>ACTION ITEM #1:</b> Provide a definition of “micro-business.”			
<b>ACTION ITEM #2:</b> Provide a presentation on changes in laws affecting the transportation industry.			
<b>Code of Conduct</b> – Tabled until the next SBC meeting scheduled for November 16, 2012.			

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<b>C. Opening Remarks – Malcolm Dougherty</b> <ol style="list-style-type: none"> <li>1. Thanked District 4, host of the SBC meeting, for all the work it has been doing for local programs.</li> <li>2. District 4 has several major projects in progress, part of the body of large projects underway throughout the state, the volume of which is unmatched across the country. Most of the work is related to replacing structures 75 plus years old. Goal is to have all districts conducting the same high level of activity.</li> <li>3. Council Member Sam Hassoun mentioned Bay Area AGC events are great networking and contracting opportunities for SBs. Mr. Dougherty added different AGC chapters hold area-specific meetings throughout the year. Mr. Hassoun asked members to make sure their email contact information on file with OBEO is current and accurate, as he oftentimes sends event information to OBEO to forward.</li> <li>4. Thanked Chair Halverson and her staff for all the work performed to conduct and complete Disparity Study II (DS-2); public participation schedule at each district can be found on the OBEO home page. Currently, OBEO staff are traveling to each district to conduct public participation meetings to receive comments, which Mr. Dougherty is looking forward to receiving results. Mr. Garcia requested a separate meeting with BBC and the council; Mr. Dougherty said the public participation meetings are the forum for discussion and exchanges.</li> <li>5. MAP-21 – in effect until 2014; California championed an increase in funding, but the final outcome saw us receiving the same amount as had been allocated in the previous year. Changes in state law may be necessary in order to be in alignment with MAP-21, but nothing will be recommended until a full assessment has been completed. Until then, Caltrans will continue as before until it is determined that changes are needed.</li> <li>6. Council Member Fred Jordan remarked much of the Doyle Drive project was contracted to outside firms. Bijan Sartipi, District 4 Director, disagreed and said there are very good resources in the area, not true that contracts went outside the area; the district worked very hard to engage SB, DBE, and DVBE. Mr. Dougherty agreed, added the district went above and beyond to engage SB, DBE and DVBE firms. Vincent Mammamo, FHWA, added by law, the district is not supposed to be limited to local firms. Council Member (Alt.) James McGhee asked about the breakdown of ethnic groups per project. Mr. Dougherty said that this is usually not provided.</li> </ol>			
<b>D. Insurance and Bonding – Guest speakers David Garese and Cathy Skeen of Excel Bonds &amp; Insurance (information on the speakers and their company included in meeting packet)</b> <ol style="list-style-type: none"> <li>1. Mr. Garese opened the presentation with definitions for industry-specific terms, such as surety, guaranty, performance bond, and so forth.</li> <li>2. Surety and insurance are not the same: SURETY – 3-party contract; no losses expected; premium = fee for extension of credit; principal retains economic risk through indemnity.</li> <li>3. INSURANCE – 2-party contract; expect losses; premium = based on actuarial likelihood of loss; insurance company assumes economic risk. Surety involves three parties: the principal, the entity providing the bond; the obligee, which is the entity receiving the guarantee and who may benefit from the bond (in our case, this would be Caltrans); and the surety, typically an insurance company that guarantees the bond.</li> <li>4. Guaranty is the surety's obligation.</li> <li>5. This industry is run more like the banking business.</li> <li>6. Underwriting closely resembles what a bank does when issuing a loan in that the language used is similar.</li> <li>7. The duty of the broker is to present a firm in the best possible light to prospective bonding companies.</li> <li>8. Each firm is unique in its profile, needs, capacity, level of experience in the field that it is seeking bonding, etc. This is all considered when working with a firm, and also why firms need to consider the broker's level of expertise and experience. A key question that any firm should ask itself is, "Why is this project good for us?"</li> </ol>			

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<p>This provides your representative with a better understanding of how to present your firm to bonding companies.</p> <ol style="list-style-type: none"> <li>Requirements for a surety bond are defined by the Miller Act and a similar act here in California.</li> <li>Financial statements – firms will be subjected to an audit; presentation prepared by your CPA is critical. If the firm is experienced, then three years of financial statements will be examined. If not, the first year will be a compilation, with the second year building on the first. Usual ratios of debt to equity are considered, but your firm's working capital will be more revealing.</li> <li>Your team should be composed of: CPA; Banker; Insurance and Bond Broker; attorney.</li> <li>Work in process schedule – includes cost to complete as estimated by the contractor. The CPA, who must have experience in putting these types of reports together for the specific type of work being estimated, <u>must</u> agree with the cost to complete. <u>All</u> the financial statements are based on this.</li> <li>Surety company – looks at the probability of completion of the project: capital, capacity, character of the contractor (which is very important). They look at the jobs your firm has completed, resumes, your team members, and how your firm will complete the work.</li> <li>Emphasized this is a process in which the broker is the facilitator. Oftentimes firms have long term relationships with their brokers, which can be beneficial because the broker has a more thorough knowledge and understanding of your firm's history and development.</li> <li>Guaranty – indemnity will be required for a firm doing the work and the principals involved (personal indemnity), which can be a road block for some firms.</li> <li>Smaller bonding is possible (under \$250,000) by using credit checks of the principals; this a temporary solution while a firm is pulling its team together.</li> <li>SBA guaranteed bonds – good program, but much slower and not as quick to react or respond.</li> </ol>			
<p><b>Questions and Answers:</b></p> <ol style="list-style-type: none"> <li>What about bonding requirements for SBs? Risk assessment is based on the size of the contract. Subs do not necessarily have to get a \$2 million bond if there is a way to break the contract down. There are ways to mitigate risk, which is what companies like the presenters' know how to do.</li> <li>OCIP (Owner Controlled Insurance Program) – Presenters said there was a difference between insurance and surety. In addition, they were not sure if things could be arranged so that general contractors working with High Speed Rail Authority would not have to cover the first \$1 million to insure subs.</li> <li>Net quick assets – Formula: Current assets (-) current liabilities (-) prepaid expenses, inventory and receivables form related entities or stockholders.</li> <li>Can Caltrans eliminate the necessity for general contractors to bond their subs? No, this is not productive. Given the proper tools and team, virtually everybody can get bonded.</li> <li>Most companies will bond for 3 years, not 4 as required by Caltrans, what can be done? Solution is to do an annual renewal bond, which is what the presenters do for maintenance contracts.</li> </ol>			
<p><b>Terms related to contract surety obligations:</b></p> <ol style="list-style-type: none"> <li>Bid bonds – guarantees the low bidder will enter into a contract with the owner and provide final performance and payment bonds.</li> <li>Performance bonds – guarantees that the contractor will perform all specifications of the contract.</li> <li>Payment bonds – guarantees to third parties that all labor and material suppliers will be paid.</li> <li>Maintenance bonds – warrants that faulty workmanship and defective materials will be corrected.</li> </ol>			
<p><b>Noted by the presenters:</b> Insurance is relatively easy to obtain, but should not be based solely on the dollar amount; think about what is needed for the job.</p>			
<p><b>ACTION ITEM #3:</b> Provide council members with Mr. Garese's and Ms. Skeen's contact information.</p>			

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<b>E. District Director Update</b>			
Bijan Sartipi, District Director, District 4, provided an update. His report was supplemented by a report from Derek Pool, SB Manager, Oakland Bay Bridge Seismic Safety Projects, District 4. Mr. Sartipi's oral report was based on materials distributed by the District 4 DSL team to those present.			
<ol style="list-style-type: none"> <li>1. Thanked staff for getting materials from the recent presentation available to the council. <ol style="list-style-type: none"> <li>a. Report figures can be found in the handouts distributed during the meeting.</li> <li>b. <b>Handouts:</b> Upcoming Small Business Program Activities; District 4 Procurement Fair Statistics, 2004-2012; Career Development Expo, 9/28/12, Campbell; DBE Certification Workshop, 10/16/12, District 4 Office, Oakland; Calmentor Program report update as of 9/20/12; District 4 Construction, Upcoming Projects as of 9/16/12.</li> </ol> </li> <li>2. <b>San Francisco-Oakland Bay Bridge Seismic Safety Projects, Small Business Program Report</b> – Derek Pool, SB Manager and Pat Padilla <ol style="list-style-type: none"> <li>a. Bidders Conference conducted on June 14, 2012 - included an overview of the DBE/DVBE programs; online link to this is available at <a href="http://www.baybridgeinfo.org">www.baybridgeinfo.org</a></li> <li>b. \$200 million in contracts, of which \$100 million are actual payments. Figures are updated on a contract by contract basis, level of completion. The Antioch Bridge is one that was recently concluded.</li> <li>c. Intent is to have an updated team report every 6 months.</li> <li>d. 75% spent is local dollar share; 250 plus businesses, which includes 190 SBs, have received payment.</li> </ol> </li> </ol>			
<b>F. July 20, 2012 Meeting Record approval</b> - René Halverson			
<ol style="list-style-type: none"> <li>1. Amendments to the record acknowledged.</li> <li>2. Motion to approve the meeting record as amended made by Council Member Stephen McGlover; seconded by Council Member Johnathan Hou.</li> <li>3. Meeting record approved unanimously.</li> </ol>			
<b>G. Committee Meeting Reports</b>			
<ol style="list-style-type: none"> <li>1. <b>Commodities</b> – Stephen McGlover, Chair <ol style="list-style-type: none"> <li>a. DPAC catalog – changes being done; will be online soon.</li> <li>b. BidSync – still experiencing challenges with expenditure reporting.</li> <li>c. FI\$CAL – to eventually replace BidSync. Mr. Dougherty suggested they find out the actual time line for the change.</li> <li>d. E-FIS – Caltrans is still experiencing problems; reporting functions continue to be limited. Mr. Dougherty agreed reporting has been a challenge, but there is a systematic way in which to address these challenges.</li> <li>e. Thanked Alicia Sequeira, OBEQ, for providing reports on DBE and DVBE participation.</li> <li>f. Would like to determine how SBs can get more involved with commodities.</li> <li>g. Procurement fairs – per Mr. Dougherty, returning to procurement fairs has made it possible to track CalCard purchases.</li> </ol> </li> </ol>			
<b>ACTION ITEM #4:</b> Provide a presentation on FI\$CAL.			



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<b>2. Local Assistance – Julian Camacho, Chair</b>			
a. Will be taking work codes and applying them to each contract, which can result in setting up realistic goals.			
b. Re: sanctions – need more accountability.			
c. Intend to concentrate on the 15% of Local Agencies that receive 75% of the federal financial aid.			
d. Ray Zhang, Local Assistance, will be working on the statistical analysis; looking at developing a uniform goal setting method to improve consistency.			
<b>3. Construction – Debbie Hunsaker, Chair</b>			
a. Two well-received presentations; encourage more of these at future meetings; will be giving topics to Chair Halverson to consider.			
b. Jidi Wong, Deputy Attorney, Legal, Contracts – one of the presenters; focused on stop notices, a critical matter because there is so much activity during the fourth quarter. Covered the steps that must be completed if filing suit.			
c. Would like to have an update on major changes in the laws and statutes.			
d. Construction work codes – Janice Salais and Shellie Elrod, Certification, suggested that the council review the document; then send comments to Ms. Hunsaker; comments should be submitted to Ms. Hunsaker by Oct. 15.			
e. Council Member Rebecca Llewellyn requested Ms. Hunsaker report to the DBE Participation Committee regarding sub-contractor issues.			
f. Requested updates on what the certification rate has been to date. Mr. Dougherty commented it is a priority to have adequate outreach, goals in place, knowledge of accomplishments towards those goals.			
g. Ms. LaCome requested report outs from the various units of OBEO.			
h. Ms. Hunsaker urged council members to submit their comments on the proposed changes in DBE rulemaking via email; deadline for submitting comments is 10/31/12.			
i. As a result of a discussion regarding the allocation of resources to the various aspects of Caltrans, it was agreed to provide an overview of fiscal year highlighting funding, where funding flows, responsibilities and services. Mr. Camacho expressed interest in knowing what is allocated to Local Assistance. Mr. Dougherty commented every district has dedicated staff working on multiple issues related to Local Assistance, SB, DBE, and so forth. Further, the Administration is responsible for managing funds; HQ resources are only a small portion of the staff working on multiple issues.			
<b>ACTION ITEM #5: Provide a presentation on stop notices and lien law changes to the SBC.</b>			
<b>ACTION ITEM #6: Provide updates on the certification rate.</b>			
<b>ACTION ITEM #7: Provide an overview of fiscal year highlighting funding, where funding flows, responsibilities and services.</b>			
<b>4. Professional Services – Eddy Lau, Chair</b>			
a. Presentations from DPAC, Certification, District 59 representatives. Topics discussed included tracking DBE/UDBE utilization; progress on enforcement of NAICS Code 541330; impact of reinstatement of Hispanic Americans and Subcontinent Asian Americans to setting of DBE goals; source inspections; status of geotechnical contracts; District 4 Calmentor Program; DBE goal setting at local agencies.			
b. African American participation enhancement project – Mr. Lau proposed a work group composed of representatives from Caltrans, FHWA, and the council. Mr. Dougherty stated commitment from Caltrans, will identify appropriate staff to participate. Mr. Mammano stated commitment from FHWA. Mr. Lau asked for participation from those who could genuinely commit time and energy to the effort. Individuals who signed up: Matthew Ajiake (non-Council Member); Josie Calderon; Paul Guerrero; Debbie Hunsaker; John James (Alternate); Bernard Johnson; Fred Jordan; Diana LaCome; Eddy Lau (chair of the work group);			

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James McGhee (Alternate); Stephen McGlover; Jesus Vargas; Lance Yokota (FHWA).			
<b>ACTION ITEM #8:</b> Create an ad hoc work group to enhance African American participation in Caltrans contracts.			
<b>H. Public Comment – Chair Halverson, Facilitator</b> <ol style="list-style-type: none"> <li>1. Scott Leslie, US DOT – the US DOT is conducting a bonding education program and stakeholders meeting; will send the information to Carole Ching and Alicia Sequeira, OBEO to be distributed.</li> <li>2. Lance Yokota, FHWA – public comment on the proposed rulemaking on DBE regulations is due by Nov. 5, 2012. OBEO is requesting all comments be submitted by Oct. 31, 2012. Mr. James urged council members to submit their comments on this matter. Mr. Mammiano agreed; he then added it is an opportunity to comment and make the changes.</li> <li>3. Mr. Guerrero - requested staggering the start times for the SBC Committee meetings so members can attend more than one meeting during the day.</li> <li>4. Council Member Lynn Chen - noted there were no council members present at the Disparity Study 2 hearing on May 24, which was disappointing. District 7 did a good job outreaching to the community, but there were not many familiar faces. She urged fellow members to participate in activities such as these.</li> <li>5. Mr. Vargas - noted the procurement fair coming up in District 10 on Oct. 4; Silvia Dayak, DSB, will be sending out information for this event; have invited neighboring counties to attend.</li> <li>6. Mr. McGlover – thanked CT for participation in his recent youth career day event.</li> </ol>			
<b>ACTION ITEM #9:</b> Discuss the possibility of staggering committee meeting start times with committee chairs.			
<b>Meeting adjourned:</b> 12:50 p.m.			
<b>Next meeting: November 16, 2012, Sacramento;</b> specific details to be sent to members.	Carole Ching to notify SBC members.	10-16-2012	

### ATTACHMENTS:

- Addendum to the meeting record, July 20, 2012, re: Action Item #1.
- District 4: Business and Career Development Expo, 9/28/12; DBE Certification Workshop, 10/16/12; Calmentor program report update; Upcoming Small Business Program Activities; Construction – Upcoming projects as of 9/19/12; San Francisco-Oakland Bay Bridge Seismic Safety Projects, Bidder's Conference/Contractor Outreach and Networking Event, 6/14/12
- Form DES-OE-0102.2, Subcontractor List – sample of blank form used.
- Caltrans, Division of Construction – Insurance requirements.
- David Garese and Cathy Skeen, Excel Bonds & Insurance – brief background.
- Caltrans Upcoming DBE Certification Workshops
- SB Participation, State Funded Contracts, 7/1/11 through 6/30/12, DPAC
- DVBE Participation, State Funded Contracts, 7/1/11 through 6/30/12, DPAC
- 6<sup>th</sup> Annual Regional Connecting Point, 11/13/12, District 3, Citrus Heights
- Small & Diverse Business Procurement, Expo 2012, District 10, Stockton

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- DBE Certification Workshop, 10/25/12, District 10, Stockton

### **PRESENT**

#### **Council Members:**

1. Calderon, Josie
2. Camacho, Julian
3. Chen, Lynn
4. Cunningham, Lee
5. Dean, Marvin (teleconference; Alternate, Debbie Hunsaker)
6. Garcia, Rodrigo
7. Garnett, Ron (Alternate, Bernard Johnson, who was also present)
8. Guerrero, Paul
9. Halm, Eric
10. Hassoun, Sam
11. Hernandez, Richard
12. Hou, Johnathan
13. Hunsaker, Debbie
14. James, John (Alternate, Kevin Ramsey)
15. Johnson, Bernard
16. Jordan, Fred
17. LaCome, Diana
18. Lau, Eddy
19. Llewellyn, Rebecca (teleconference)
20. Lowry, Patrick
21. McGhee, James (Alternate, Fred Jordan)
22. McGlover, Stephen
23. Ortiz, Leonard
24. Ulmer, Bill (Alternate, Gene Golliet)
25. Vargas, Jesus

26. Yu, M.C. (Alternate, Eddy Lau)

#### **Caltrans Staff:**

1. Halverson, René, Assistant Director, OBEO & Council Chair
2. Dougherty, Malcolm, Director
3. Bayar, Zoe, DPAC (teleconference)
4. Blas, Will, District 7 (teleconference)
5. Bouliware, La Sonja, District 11 (teleconference)
6. Carlos, Ramon, OBEO (teleconference)
7. Ching, Carole, OBEO
8. Danko, Ann, District 5 (teleconference)
9. Dayak, Silvia, District 10
10. Effinger, Rob, Project Delivery (teleconference)
11. Fuentes, Romy, District 4
12. Gastinell, Sherri, OBEO (teleconference)
13. McClain, Katie, DPAC (teleconference)
14. McElhinney, Dan, District 4
15. McGowan, Cyndee, District 11
16. Negri, Francesca (teleconference)
17. Padilla, Pat, District 4
18. Pool, Derek, District 4
19. Salais, Janice, OBEO
20. Sartipi, Bijan, District 4
21. Sequeira, Alicia, OBEO (teleconference)
22. Shell, Angela, Construction
23. Silva, Anna, OBEO (teleconference)
24. Valdry, Rhonda, DPAC (teleconference)
25. Wabinga, Christina, DPAC (teleconference)



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**Public Participants:**

1. Ajiake, Mattew, Sonika Corp.
2. Martinez, Victor, HCCA
3. Oden, Marcus, FEJA
4. Onodera, Yasuharl, TAC

26. Zhang, Ray, Local Assistance

**Guests:**

1. Carrera, Angel, DGS
2. Lelo-Butcher, Raewyn, Ghirardelli Associates; CalMentor
3. Mammamo, Vincent, FHWA
4. Yokota, lance, FHWA

**Approved by:**



RENÉ HALVERSON

Assistant Director

Business and Economic Opportunity  
California Department of Transportation